UNITED STATES PATENT AND TRADEMARK OFFICE   MN

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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EXAMINER
KIM, HAROLD J

ART UNIT	PAPER NUMBER
2181	

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Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

		Application No.	Applicant(s)
Office Action Summary		10/646,365	DOREY, MARTIN A.
		Examiner	Art Unit	
		Harold Kim	2181	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE *3* MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.
- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

1) ☒ Responsive to communication(s) filed on *29 January 2007*.

2a) ☒ This action is **FINAL**.   2b) ☐ This action is non-final.

3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4) ☒ Claim(s) *1-33* is/are pending in the application.

    4a) Of the above claim(s) _____ is/are withdrawn from consideration.

5) ☐ Claim(s) _____ is/are allowed.

6) ☒ Claim(s) *1-33* is/are rejected.

7) ☐ Claim(s) _____ is/are objected to.

8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9) ☐ The specification is objected to by the Examiner.

10) ☒ The drawing(s) filed on *26 September 2003* is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.

    Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

    Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

    a) ☐ All   b) ☐ Some * c) ☐ None of:

      1. ☐ Certified copies of the priority documents have been received.

      2. ☐ Certified copies of the priority documents have been received in Application No. _____.

      3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

    * See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

1) ☐ Notice of References Cited (PTO-892)

2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)

3) ☐ Information Disclosure Statement(s) (PTO/SB/08)
    Paper No(s)/Mail Date _____.

4) ☐ Interview Summary (PTO-413)
    Paper No(s)/Mail Date. _____.

5) ☐ Notice of Informal Patent Application

6) ☐ Other: _____.

DETAILED ACTION

1.   In view of the appeal brief filed on 1/29/2007, PROSECUTION IS HEREBY

REOPENED. See the new grounds of rejection set forth below.

To avoid abandonment of the application, appellant must exercise one of the

following two options:

(1) file a reply under 37 CFR 1.111 (if this Office action is non-final) or a reply

under 37 CFR 1.113 (if this Office action is final); or,

(2) initiate a new appeal by filing a notice of appeal under 37 CFR 41.31 followed

by an appeal brief under 37 CFR 41.37. The previously paid notice of appeal fee and

appeal brief fee can be applied to the new appeal. If, however, the appeal fees set forth

in 37 CFR 41.20 have been increased since they were previously paid, then appellant

must pay the difference between the increased fees and the amount previously paid.

A Supervisory Patent Examiner (SPE) has approved of reopening prosecution by

signing below:

Donald Sparks

SPE, AU2187

2.   This Office Action is in response to the filing of the Appeal Brief on 1/29/2007.

The arguments have been considered but they are persuasive and moot in view of the

new ground(s) of rejection. Applicant's amendment, filed on 10/3/2005, necessitated

the new ground(s) of rejection presented in this Office action. Accordingly, this action is

made **FINAL**.

3.   Claims 1-33 are presented for examination.

4.   Applicant's request for withdrawal from consideration of independent claim 29,

Appeal Brief dated 1/26/2007, page 5, last line, has been acknowledged. Cancellation

of the claim 29 in response to this office action is required.

Claim Rejections - 35 USC § 112

The following is a quotation of the first paragraph of 35 U.S.C. 112:

> The specification shall contain a written description of the invention, and of the manner and process of
> making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the
> art to which it pertains, or with which it is most nearly connected, to make and use the same and shall
> set forth the best mode contemplated by the inventor of carrying out his invention.

5.   Claims 1-28, and 30-33 are rejected under 35 U.S.C. 112, first paragraph, as

failing to comply with the written description requirement. The claim(s) contains subject

matter which was not described in the specification in such a way as to reasonably

convey to one skilled in the relevant art that the inventor(s), at the time the application

was filed, had possession of the claimed invention. Examiner could not find the newly

introduced limitations in independent claims 1, 16, 30 and 31 "at least one **map failure**

indicator and the corresponding **identifier** from the first set of file security attributes,

wherein the **map failure indicator** indicates that said identifier relates to the first file

security model" from the specification.

Claim Rejections - 35 USC § 102

6.   The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless --

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

7.   **Claims 1-33 are rejected under 35 U.S.C. 102(e) as being anticipated by Hitz et al., US Patent no. 6,457,130.**

8.   In re claim 1, Hitz et al. shows a method for managing file security attributes [fig 1; col 4, lines 12-48] by a file server [110, fig 1] in a computer file storage system [fig 1], the computer file storage system including a file secured using a first file security model [fig 1], the method comprising:

receiving a first request [col 3, line 45; col 5, line 36] from a client [120, fig 1] relating to the file [112, fig 1] stored in the computer file storage system, the client utilizing a second file security model [NT, 120, fig 1];

retrieving a first set of file security attributes, in accordance with the first file security model, associated with the file [col 4, lines 12-29], the first set of file security attributes including at least an owner identifier [UID, col 4, line 16] and a group identifier [GID, col 4, line 17]; and

generating a second set of file security attributes [col 6, lines 1-10], in accordance with the second file security model, from the first set of file security

attributes, the second set of file security attributes including a plurality of security

identifiers (SID) [col 4, lines 46-47] including at least an owner SID [col 4, line 46]

derived from the owner identifier and a group SID [col 4, line 47] derived from the group

identifier, wherein at least one of the owner SID and the group SID includes at least one

map failure indicator ["If there is no such NT user, the file server 110 uses a **selected**

parameter for unmapped Unix users." col 6, lines 54-58] and the corresponding

identifier ["obtain the SIDs", col 6, lines 59-61] from the first set of file security attributes,

wherein the map failure indicator indicates that said identifier relates to the first file

security model.

9.   In re claim 2, Hitz et al. shows the at least one map failure indicator includes an

authority identifier, specific to the first file security model, and an owner/group indicator

having a first value to indicate that the identifier is the owner identifier from the first set

of security attributes [col 6, lines 54-58], and a second value to indicate that the

identifier is the group identifier from the first set of security attributes [col 6, lines 59-61].

10.   In re claim 3, Hitz et al. shows the at least one map failure indicator includes an

authority identifier, specific to the first file security model, having a first value to indicate

that the identifier is the owner identifier from the first set of file security attributes and a

second value to indicate that the identifier is the group identifier from the first set of file

security attributes [col 6, lines 54-58].

11.   In re claim 4, Hitz et al. shows generating the second set of file security attributes

[col 6, lines 25-61] from the first set of file security attributes comprises:

attempting to map each identifier from the first set of file security attributes to a

corresponding identifier from the second set of file security attributes [col 6, lines 25-61;

col 7, lines 53-54]; and

generating, for each identifier from the first set of file security attributes that

cannot be mapped to a corresponding identifier from the second set of file security

attributes, the SID including the at least one map failure indicator and the corresponding

identifier from the first set of file security attributes [col 6, lines 54-61; col 7, lines 60-64].

12.   In re claim 5, Hitz et al. shows attempting to map each identifier from the first set

of file security attributes to a corresponding identifier from the second set of file security

attributes comprises:

maintaining a table mapping a first set of names in accordance with the first file

security model to a second set of names in accordance with the second file security

model [col 6, lines 25-52];

determining a name from the first set of names corresponding to the identifier

from the first set of file security attributes [col 6, lines 25-52; col 8, lines 7-10]; and

searching the table for a name from the second set of names corresponding to

the name from the first set of names [col 6, lines 25-52].

13.   In re claim 6, Hitz et al. shows determining a name from the first set of names

corresponding to the identifier from the first set of file security attributes comprises [col

6, lines 25-52]:

maintainting a cache mapping [col 6, lines 62-63] identifiers from the first set of

file security attributes to names in the first set of names; and

searching the cache for a name from the first set of names corresponding to the

identifier from the first set of file security attributes [col 6, lines 62-63].

14.   In re claim 7, Hitz et al. shows sending the identifier from the first set of file

security attributes over a communication link to a NIS server [col 7, line 59]; and

receiving the name from the first set of names over the communication link from the NIS

server [col 7, line 59].

15.   In re claim 8, Hitz et al. shows transmitting the second set of file security

attributes to the client in a response to the first request [col 5, lines 51-55].

16.   In re claim 9, Hitz et al. shows receiving a second request from the client utilizing

the second file security model including at least one of said SIDs including at least one

map failure indicator [col 6, lines 54-58] and the corresponding identifier [col 6, lines 59-

61] from the first set of file security attributes;

translating the at least one of said SIDs into a text string [col 6, lines 43-44]; and

translatting the text string to the client in a response to the second request [col 6,

lines 43-44].

17.   In re claim 10, Hitz et al. shows the text string includes a representation of the

identifier from the SID [col 6, lines 43-44].

18.   In re claim 11, Hitz et al. shows a first set of file permissions, in accordance with

the first file security model [col 6, lines 16-48], and wherein generating the second set of

file security attributes from the first set of file security attributes further comprises:

generating a second set of file permissions, in accordance with the second file security model, from the first set of file permissions [col 6, lines 16-48].

19. In re claim 12, Hitz et al. shows at least one requested change to the security attributes of the file [col 8, line 11], and wherein the method further comprises:

applying the requested security attribute changes to the second set of file security attributes to create a modified set of file security attributes in accordance with the second file security model [col 8, lines 35-46]; and

writing the modified set of file security attributes to the file [col 8, lines 35-46], said writing effectively changing the security model of the file from the first file security model to the second file security model [col 8, lines 35-46].

20. In re claims 13-14, Hitz et al. shows a session having a session owner and session group [col 4, lines 63, 46-47].

21. In re claim 15, Hitz et al. shows translating the first set of file permissions into a second set of file permissions, the second set of file permissions defining owner permissions, group permissions, and everybody permissions [col 10, lines 1-17].

22. In re claim 16, Hitz et al. shows an apparatus for managing file security attributes in a computer file storage system [fig 1], the computer file storage system including a file secured using a first file security model, the file associated with a first set of file security attributes including an owner identifier and a group identifier [col 4, lines 8-42], the apparatus comprising:

a network interface [120, fig 1] for communicating with clients over a communication network [fig 1];

a storage interface [110, fig 1] for communicating with a file storage device [111];

and

file security logic [CIFS, NFS, fig 1] operating between the network interface and

the storage interface for managing file security attributes, the file security logic including

logic for generating a second set of file security attributes, in accordance with a second

file security model [col 6, lines 1-10], from the first set of file security attributes, the

second set of file security attributes including at least an owner SID derived from the

owner identifier and a group SID derived from the group identifier [col 4, lines 12-54; col

6, lines 25-52], wherein at least one of the owner SID and the group SID includes at

least one map failure indicator [col 6, lines 54-58] and the corresponding identifier [col 6,

lines 59-61] from the first set of file security attributes, wherein the map failure indicator

indicates that said identifier relates to the first file security model.

23.   In re claim 29, Hitz et al. shows an apparatus for managing file security attributes

[fig 1; col 4, lines 12-48] in a computer file storage system [fig 1], the apparatus

comprising:

means for translating an owner identifier in accordance with a first file security

model into an owner SID, compatible with a second file security model [col 6, lines 25-

30; col 4, lines 12-56];

means for translating a group identifier in accordance with a first file security

model into a group SID, compatible with the second file security model [col 6, lines 25-

30; col 4, lines 12-56]; and

means for translating file access permissions, in accordance with a first file

security model, into an access control list, compatible with the second file security

model [col 6, lines 25-30; col 4, lines 12-56].

24.   Claims 17-28 and 30-33 are rejected under the same rationale as discussed

above in claims 1-16 and 29.

Response to Arguments

Applicant's arguments have been fully considered but they are not persuasive.

In the remarks, applicants argued in substance that (1) Hitz does not show one

map failure indicator and the corresponding identifier from the first set of file security

attributes, wherein the map failure indicator indicates that said identifier relates to the

first file security model.

Examiner respectfully traverses applicants' remarks.

As to point (1), Hitz shows one map failure indicator ["If there is no such NT user,

the file server 110 uses a **selected parameter** for unmapped Unix users. col 6, lines

54-58] and the corresponding identifier ["obtain the SIDs", col 6, lines 59-61] from the

first set of file security attributes , wherein the map failure indicator indicates that said

identifier relates to the first file security model.

Conclusion

This Office Action is in response to the filing of the Appeal Brief on 1/29/2007.

The arguments have been considered but they are persuasive and moot in view of the

new ground(s) of rejection. Applicant's amendment, filed on 10/3/2005, necessitated

the new ground(s) of rejection presented in this Office action. Accordingly, this action is

made **FINAL.** See MPEP § 706.07(a). Applicant is reminded of the extension of time

policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE

MONTHS from the mailing date of this action. In the event a first reply is filed within

TWO MONTHS of the mailing date of this final action and the advisory action is not

mailed until after the end of the THREE-MONTH shortened statutory period, then the

shortened statutory period will expire on the date the advisory action is mailed, and any

extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of

the advisory action. In no event, however, will the statutory period for reply expire later

than SIX MONTHS from the mailing date of this final action.

Any response to this action should be mailed to:

     Mail Stop ____
     Commissioner for Patents
     P.O. Box 1450
     Alexandria, VA 22313-1450

The centralized fax number is 571-273-8300.

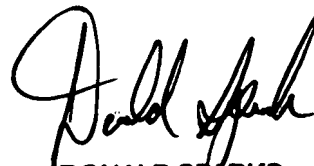The centralized hand carry paper drop off location is:

U.S. Patent and Trademark Office

Customer Service Window, Mail Stop _____

Randolph Building

401 Dulany Street

Alexandria, VA 22314

Any inquiry of a general nature or relating to the status of this application should be directed to the central telephone number (571) 272-2100.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Harold Kim whose telephone number is 571-272-4148. The examiner can normally be reached on Monday-Friday 9AM-5PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Donald Sparks can be reached on 571-272-4201. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 or call 571-272-1000.

DONALD SPARKS
SUPERVISORY PATENT EXAMINER